

FY06



U.S. Office of Government Ethics

IRM Strategic Plan
FY 2004 - 2008
Last Updated: July 2006

I. BACKGROUND

The U.S. Office of Government Ethics (OGE) Information Resources Management Strategic Plan reflects the provisions of the Clinger-Cohen Act of 1996 by (a) incorporating information technology-related goals and objectives that address the long-term mission and vision of the agency, as well as (b) providing the “blueprint” to achieving optimal performance of the Agency’s business process within an efficient information technology (IT) environment. In many departments and agencies, the Clinger-Cohen provisions are met with separate planning documents. Due to the relative size of the OGE and the limited information technology resources available to it, this document and its appendices serve as both a strategic plan and an enterprise architecture document.

II. RESPONSIBILITIES

A. Deputy Director for Administration and Information Management

As the Chief Information Officer, the Deputy Director for Administration and Information Management (OAIM) is responsible for coordinating, documenting, and monitoring the linkage of OGE's strategic and performance plans with the Agency's Information Resource Management Strategic Plan.

B. Deputy Chief Information Officer

The Associate Director for Information Resource Management (IRM) serves as the Deputy Chief Information Officer and is responsible for the full range of information technology services including local area network design and support, software and hardware installation, application development, information technology security, and customer support. IRMD, within the Office of Administration and Information Management (OAIM), is responsible for providing the technology infrastructure necessary to support the Agency’s mission. This includes the planning, developing, testing, implementing, securing, and supporting of technology-based business solutions.

C. Deputy Directors

OGE’s Deputy Directors are responsible for identifying program activities that will benefit from information technology enhancements, participating with IRMD staff and contractors in the development of applications and systems, supporting IRMD security programs, and supporting IRMD staffing and resource requirements (in balance with other Agency funding priorities).

III. AGENCY STANDARDS and PRINCIPLES

A. OGE Mission Statement

The U.S. Office of Government Ethics exercises leadership in the Executive Branch to prevent conflicts of interest on the part of Government employees, and to resolve those conflicts of interest that do occur. In partnership with Executive Branch agencies and departments, we foster high ethical standards for employees and strengthen the public's confidence that the Government's business is conducted with impartiality and integrity.

B. OGE Strategic Goals

OGE's Strategic Plan includes an internal Management Goal to maintain strong, effective leadership and management. **Objective #2 of that Management Goal states that OGE will utilize Information Technology systems to improve the efficiency of the Agency's business operations. That OGE Objective is the goal of the Agency Information Resource Management (IRM) Program** and to meet that goal the IRM Program must strive to meet its own objectives. Those objectives involve:

- Internal Office Automation Support,
- Capital Planning,
- Data Security;
- E-Commerce, and
- Internal Staff Development.

Inherent in the above is the task to provide for the systematic, ongoing oversight and evaluation of the Agency's operations, with a particular focus on (a) reducing or eliminating unnecessary paperwork to enhance the Agency's ability to conduct greater proportions of its business electronically and (b) utilizing internal and external feedback to identify ways to improve internal operations.

IV. REGULATORY COMPLIANCE

A. The Clinger-Cohen Act, also known as the Information Technology Management Act of 1996, defines the role of CIO's and requires agencies to tie IT investment to agency accomplishments and establish integrated systems architectures.

B. The Federal Information Security Management Act requires agencies to assess the security of automated systems.

C. The Government Paperwork Elimination Act (GPEA) requires agencies to conduct transactions electronically and maintain records electronically when practicable.

D. The Government Performance and Results Act (1993) requires agencies to set standards for measuring their performance. It requires agencies to develop multi-year strategic plans, performance plans, and annual performance reports.

E. Section 508 of the Rehabilitation Act Amendments (1998) requires agencies to allow access to electronic information and information technologies by people with disabilities, including web site navigation.

V. ENTERPRISE ARCHITECTURE (EA)

The Clinger-Cohen Act requires all Federal agencies to create an Enterprise Architecture document. This document is then updated on a regular basis. To better understand the reason for an Enterprise Architecture, the following is an excerpt from the preface of the CIO Council publication A Practical Guide to Federal Enterprise Architecture:

“An enterprise architecture (EA) establishes the Agency-wide roadmap to achieve an Agency's mission through optimal performance of its core business processes within an efficient information technology (IT) environment. Simply stated, enterprise architectures are "blueprints" for systematically and completely defining an organizations current (baseline) or desired (target) environment. Enterprise architectures are essential for evolving information systems and developing new systems that optimize their mission value. This is accomplished in logical or business terms (e.g., mission, business functions, information flows, and systems environments) and technical terms (e.g., software, hardware, communications).”

OGE has two major information systems. One is the IT Network maintained by the Information Resources Management Division and the other is the Financial Disclosure Tracking System used by the Office of Agency Programs. Documentation of those two systems resides with the Information Resources Management Division.

One of the Agency's primary business processes is the receipt and review of Public Financial Disclosure forms, the SF-278. The OGE is partnering with the Department of Army to develop a web-based application that will permit the electronic completion and submission of that form. (The Program Services Division is OGE's project office for the joint effort.) Funding and related development costs are being borne by the Army. At present, the Army is testing the application and plans to expand those tests to other DOD agencies in the very near future. Tests involving non-DOD agencies will follow the DOD-wide deployment. Documentation of the system is maintained by the Army.

In June 2005, the Office of Management and Budget (OMB) mandated that all federal agencies must transition to new Internet Protocol (IPv6) software by June 2008. The extent of the costs and operational impact of that decision are not yet known. IRMD will spend FY 2006 completing inventories of existing IP compliant devices and impact analyses of the transition and reporting that information to OMB. Further guidance and deadlines are anticipated for FYs 2007 and 2008.

VI. SECURITY

The Agency's Information Technology Security Plan and the status of our compliance with the requirements of the Federal Information Security Management Act are included in this Plan as Appendix A.

VII. IRM STRATEGIC GOALS and OBJECTIVES

Our performance in achieving the following goals and objectives is monitored closely and the specific measures used to monitor our progress are detailed in the following pages. FY 2003 represented the first year of the Plan and, as such, was spent gathering data to determine our baseline for each of the specific measures. Upon determining those baselines, FY 2004 - FY 2008 performance targets were established.

Strategic Goal: Utilize Information Technology (IT) systems to improve the efficiency of the Agency's business operations.

Objective (Outcome Goal) #1: Ensure adequate internal office automation support.

Measure (Performance Indicator) #1: Reviews of desktop software are performed semi-annually to permit updates of desktop software on a regular basis so that users stay current with technology. (The OGE IRM staff has worked hard to create a desktop software system that is relatively easy to maintain and upgrade. All desktop computers in the Agency use the identical software "image." This enables our staff to carefully test and rollout a single software configuration to each user. This saves a great deal of time and money for staff support. In addition, it gives the end-user a much more reliable system and provides for the relatively quick replacement should a system malfunction.)

Measure (Performance Indicator) #2: Length of time required to respond to help desk calls. (All user machines should have close to 100% uptime. Our system has been designed to be reliable and stable. However, sometimes users do have problems or questions. As such, we provide a help desk which is equipped to assist the user in a timely manner.)

Ideal (Performance Goal) - In response to a request for assistance from an employee, an IRMD staffer will contact the employee/visit the employee's work station within 30 minutes.

FY 2003 Baseline - 45 minutes

FY 2004 Target - 30 minutes Actual - 30 minutes

FY 2005 Target - 30 minutes Actual - 30 minutes

FY 2006 Target - 30 minutes Actual -

FY 2007 Target - 30 minutes Actual -

FY 2008 Target - 30 minutes Actual -

Measure (Performance Indicator) #3: Percentage of work process improvement projects (i.e. GPEA-related) completed on schedule. (IRMD staff will use its technology expertise to assist users in identifying processes which can be improved with technology. Also see Objective #4, E-Commerce)

Ideal (Performance Goal) - All project deadlines are met.

FY 2003 Baseline - Projects were delayed by IT Security concerns

FY 2004 Target - 100% Actual - 100%

FY 2005 Target - 100% Actual - Projects delayed
by program office changes

FY 2006 Target - 100% Actual -

FY 2007 Target - 100% Actual -

FY 2008 Target - 100% Actual -

Measure (Performance Indicator) #4: Maximize system reliability while balancing cost factors. The OGE has a limited administrative budget. As such, great care must be put into making the systems reliable without spending too much money. By carefully testing and standardizing our software and hardware, we are able to ensure maximum reliability.

Objective (Outcome Goal) # 2: Ensure proper Capital Planning

Measure (Performance Indicator) #1: Frequency of the replacement of desktop PCs. Depending on changes in technology and available funding, desktop PCs will be replaced every four years with half of the Agency's PCs being replaced in the second half of "Year Three" and the remainder being replaced in the first half of "Year Four".

Measure (Performance Indicator) #2: The life cycle of equipment is maximized without jeopardizing performance.

Objective (Outcome Goal) #3: Ensure adequate security for information technology systems to protect the confidentiality, integrity, and availability of information.

Measure (Performance Indicator) #1: An Information Technology (IT) Security Policy for OGE is documented and reviewed annually to ensure applicability. The IT Security Policy shall establish policies, assign organizational and management roles and responsibilities, and establish minimum requirements for the development, implementation, maintenance, and oversight of an information technology (IT) security program for protecting OGE information and IT systems that store, process, or transmit unclassified information.

Measure (Performance Indicator) #2: An Information Technology (IT) Security Plan for OGE is documented and reviewed annually to ensure applicability. The Information Technology Security Plan shall define the approach for establishing, implementing, and maintaining the OGE security program in accordance with the IT Security Policy.

Measure (Performance Indicator) #3: Conduct quarterly and annual assessments of OGE's IT Security Program and report to OMB and Congress as required. Assessment guidelines shall be developed to provide a method for OGE officials to determine the current status of the IT Security Program.

Ideal (Performance Goal) - There is 100% compliance with the Federal Information Security Management Act security program management guidelines.

FY 2003 Baseline - 100%

FY 2004 Target - 100%

FY 2005 Target - 100%

FY 2006 Target - 100%

FY 2007 Target - 100%

FY 2008 Target - 100%

Actual - 100%

Actual - 100%

Actual -

Actual -

Actual -

Measure (Performance Indicator) #4: Conduct annual assessments of OGE's mission-critical programs. The Office of Management and Budget (OMB) has requested that the NIST Special Publication 800-26 (Security Self-Assessment Guide for IT Systems) be used as the basis for these reviews.

Ideal (Performance Goal) - There is 100% compliance with the NIST Special Publication 800-26 (Security Self-Assessment Guide for IT Systems) for OGE mission-critical systems.

FY 2003 Baseline - 100%

FY 2004 Target - 100%

Actual - 100%

FY 2005 Target - 100%

Actual - 100%

FY 2006 Target - 100%

Actual -

FY 2007 Target - 100%

Actual -

FY 2008 Target - 100%

Actual -

Measure (Performance Indicator) #5: Constantly keep up with new virus and hacker attack methodologies. Security is a fast-changing field and it is critical that IRMD staff keep abreast of new viruses and security holes. (Two sources of vital security information are FEDCIRC and NIPC.)

Measure (Performance Indicator) #6: Install, test and implement all necessary security software, including an Intrusion Detection System (IDS) to ensure the safety of our business systems.

Measure (Performance Indicator) #7: Keep users informed of security issues on a regular basis. New hires receive an IT security briefing and computer security awareness training is provided to OGE employees on a regular basis.

Ideal (Performance Goal) - 100% of OGE employees receive computer security awareness training annually.

FY 2003 Baseline - 100%

FY 2004 Target - 100%

Actual - 100%

FY 2005 Target - 100%

Actual - 100%

FY 2006 Target - 100%

Actual -

FY 2007 Target - 100%

Actual -

FY 2008 Target - 100%

Actual -

Measure (Performance Indicator) #8: Carefully test and implement appropriate security for all OGE E-Commerce initiatives to ensure that it is equal to (or better than) the security afforded to our current paper-based systems. As we work towards e-government and reaching our GPEA goals, we must be sure that security is kept in mind every step of the way.

Objective (Outcome Goal) #4: Meet E-Commerce initiatives

Measure (Performance Indicator) #1: Work with Agency offices to ensure that internal policies and procedures are appropriate to meet E-Government requirements set forth in the Government Paperwork Elimination Act. As part of our Enterprise Architecture, IRMD will work closely with all program offices. Moving towards E-Government requires a careful look at the way in which the Agency does business.

Measure (Performance Indicator) #2: Design, test, and implement E-Government systems that will enable the public and government agencies to send and receive information to/from the OGE.

Measure (Performance Indicator) #3: Test and implement electronic records management systems that meet NARA requirements. OGE's Records Officer will continue to seek out and review available electronic records management systems. He/she will work with all OGE program offices in evaluating these systems for potential use within the Agency.

Measure (Performance Indicator) #4: Review OGE's information dissemination program. As part of the agency's annual internal management controls evaluation, the Deputy C.I.O. will, based on feedback from users of OGE's web site and each of the program offices, review and amend the OGE's information dissemination schedule as appropriate.

Objective (Outcome Goal) #5: Ensure adequate internal IT staff development

Measure (Performance Indicator) # 1: Encourage staff to stay current on new technology issues. IT is one of the fastest-moving fields and our staff must stay abreast of new technology.

Measure (Performance Indicator) # 2: Provide appropriate training opportunities to internal staff. Training is important to ensure staff can move the Agency forward.

Measure (Performance Indicator) #3: Provide cross-servicing assignments to enable the IRMD staff to become knowledgeable of all IRMD functions, (a) ensuring adequate IRMD coverage in times of staffing shortages and heavy workloads and (b) maintaining adequate customer/user support.

VIII. MAJOR IRM PROJECTS

A. FY 2002 Accomplishments

Video Conferencing

IRMD acquired and installed a Polycom 512 videoconferencing system in OGE's main conference room. The new system provides an alternative method for conducting ethics training, and facilitating meetings between various OGE division staff and those outside of OGE. This system operates over high speed ISDN telephone lines, and allows for almost Broadcast TV quality transmission and reception. The system includes a document camera that can be used to transmit images of letters, forms, or objects over the system to those who are viewing our transmission. It also has the capability of attaching a VCR that can be used to either record video conferences or be used to transmit prerecorded material during the video conference. The system is also tied into the overhead projection system so that large groups within OGE's conference room may see the received video image without crowding around the system's single 35" video monitor. The same system may also be attached and become accessible for making or receiving video calls over the Internet via our upgraded network architecture.

Ethics Bulletin Board System

IRMD staff purchased, installed and configured a Web-based ethics bulletin board system to be used by OGE as a forum for ethics officials to discuss various ethics issues on-line.

Upgrade Network to Gigabyte-compliant Architecture

OGE's local area network (LAN) topology (wiring structure) had not changed since 1988, when the first OGE LAN was established. Since then, network technology has changed so much that our wiring structure was totally inadequate and did not support the network speeds that today's networks are capable of providing. Also, hardware components for our old wiring system were expensive and, in some cases, no longer available.

By upgrading our LAN from a "Token Ring" to a "Fast Ethernet" topology, we increased the speed of our network from 16 megabits to 100 megabits for the users' workstations, and from 100 megabits to one gigabyte for the network servers. This increase affords OGE the opportunity to make use of advances in video and audio technology. For example, OGE's video conferencing system may be attached to the new network and become accessible to OGE telecommuting staff and others by using a web browser and video conferencing software.

Security Review

The Government Information Security Reform Act (2000) required agencies to assess the security of classified and non-classified systems and to include risk assessment and security needs with each agency budget request. To comply with this requirement, OGE's IRMD staff developed a Security Program Plan which provides an overview of OGE's security requirements and the controls in place or planned for meeting those requirements. The Plan establishes a security program within OGE that will (a) secure OGE's information and information systems, (b) satisfy federal requirements, ©) and ensure OGE personnel have the information, skills, and tools required to fulfill their security responsibilities.

The IRMD staff also developed a Security Implementation Plan, which details estimated resources and target dates for completing actions found in the Security Program Plan. A prioritization schedule was developed and steps initiated to implement the security measures deemed to have the highest priority. An additional result of the security review was the determination that OGE should have a full-time IT Security Specialist to plan, execute and maintain OGE's on-going IT security requirements.

Network Documentation

IRMD staff completed a comprehensive revision to the documentation of OGE's local area network (LAN). OGE's LAN hardware and software have changed dramatically over the past few years, and as a result, the system documentation was completely out of date. IRMD staff were often faced with implementing new hardware and software solutions as quickly as possible, so as to minimize the disruption to OGE systems and workflow, and in doing so, often did not adequately document the changes made to the system. Current and adequate system documentation is critical for both troubleshooting network problems, as well as providing a guide to anyone who must configure, operate or maintain OGE's LAN, or who needs to add any additional software or hardware to the existing network architecture. IRMD staff spent many months compiling a complete Web-based set of system documentation, which is now available to IRMD staff, in print, on the network, and locally on their individual computers. This documentation is now kept current as changes are made to the network hardware and software.

Upgrade Network Operating System

IRMD staff recently upgraded its Novell Network Operating System (NOS) to the latest version, NetWare 6. This new version delivers the tools needed to access, secure, and control information in an increasingly complex OGE network environment. NetWare 6 will provide OGE staff with increased functionality and accessibility to OGE files, printers, directories, e-mail and databases, without the necessity of special client software being installed on individual PCs, which helps reduce IRM support efforts.

For remote users, NetWare 6 incorporates NetWare Web Access, a personalized interface through which an employee can log into the OGE network environment and access network resources from virtually anywhere in the world, using only a Web browser. IRMD will no longer have to install special client software on their remote or home computer.

The new NOS also includes a feature called iFolder, which will eventually enable OGE employees to access their personal files on the OGE LAN from anywhere, at anytime remotely, using a Web browser. By using Novell iFolder, they do not have to use floppy disks or E-mail's to transfer files between their home computer, their OGE computer, or any other computer. If they save a file in iFolder on one computer, it will be seamlessly synchronized in iFolder on all of their other machines. The employee can work on-line, off-line, at home, in the office or on the road, and iFolder will ensure that they always have the most recent version of their file. Moreover, iFolder provides powerful security for their data, ensuring that their files are always protected from unauthorized personnel.

Reorganization of IT Activities

In mid-FY 2002, the Agency's web site function was transferred from the Office Agency Programs to the Information Resource Management Division. It was done to better align and facilitate the coordination of information technology activities.

B. FY 2003 Accomplishments

OGE Intranet

IRMD staff implemented an OGE Intranet. This Web-based system is maintained on the OGE LAN and is accessible only by OGE personnel. It provides immediate accessibility to internal guidance, policy, and general information. For example, OGE's Administration Division has a section on the OGE Intranet that contains the OGE Personnel Manual, OGE Policies and Directives, Administrative forms, links to relevant personnel and administrative web sites, such as OPM's sites and the Thrift Savings Plan site. IRMD staff is working with other OGE divisions to develop information for the Intranet.

Voice Over IP Telephone System

IRMD acquired a voice over Internet Protocol (IP) telephone system to exploit the use of the Internet as a medium for voice transmission. This has given the OGE the ability to make telephone calls and to send facsimiles over IP-based data networks with a suitable quality of service and a much superior cost/benefit. Additional benefits include using existing LAN cabling for the telephone wiring infrastructure; reduced telephone

maintenance by the vendor and IRMD staff; and the ability to provide broadband (using DSL or Cable) Internet connected telecommuters with the ability to have a phone that connects to and becomes an extension of the office's phone system.

Change-over/Upgrade of all Agency Computers

Implementation of IT Help Desk

Storage Area Networks (SANS) Devices

We implemented SANS storage instead of traditional disk storage after a careful cost-effective analysis.

C. FY 2004 Accomplishments

Certification and Accreditation

Achieved OGE's first-ever certification and accreditation of its computer network and major application (the Financial Disclosure Tracking System) under the requirements of the Federal Information Security Management Act. The lengthy review of OGE's IT Security Program that led to the certification and accreditation was conducted by the Department of Treasury's Bureau of Public Debt.

Automated Employee Emergency Locator System

IRMD staff implemented a web-based Employee Emergency Locator System to facilitate the availability of certain employee data in the event of an emergency. The system was designed to collect emergency contact information as well as optional medical information that might be useful to those emergency personnel who might be called upon to render assistance to the employee requiring aid.

Renovation of OGE Computer Room

This included new HVAC, the reconfiguration of equipment, and security enhancements.

Correspondence Tracking System

A web-based application was developed and implemented.

Completed Extensive Format Changes to the OGE Web Pages

D. FY 2005 Accomplishments

Electronic SF-278

Improved the electronic version of the SF-278 on the OGE Web Site (i.e. automatic generation of additional schedules) and made the electronic form compliant with Section 508 of the Rehabilitation Act.

Continuity of Operations (COOP)

Coordinated IT requirements for COOP communications and vital records needs.

Web-based Financial Disclosure Tracking System.

OGE utilizes an internal tracking database to assist in the management of the filing process. The Financial Disclosure Tracking System tracks the completion status of SF-278s, Ethics Agreements, Blind Trusts, and Certificates of Divestiture through the manual entry of tracking data by OGE staff members. Additionally, the database generates a series of management reports. Programming of a web-based system was completed in FY2005.

Installed new SMTP (security) Gateway

E. FY 2006 Projects

Financial Disclosure Tracking System

OGE utilizes an internal tracking database to assist in the management of the filing process. The Financial Disclosure Tracking System tracks the completion status of SF-278s, Ethics Agreements, Blind Trusts, and Certificates of Divestiture through the manual entry of tracking data by OGE staff members. Additionally, the database generates a series of management reports. Testing of a new web-based system is to begin in October, 2005 and full implementation of the system is scheduled for November, 2005.

Review Tracking System

OGE utilizes an internal tracking system to assist in the management of audits of the ethics programs of executive branch agencies. A requirements analysis for the conversion of this system to a web-based environment was completed in FY2005. Additional requirements are being identified by the Office of Agency Programs. Completion of the necessary programming and testing system is pending the receipt of those additional requirements.

IPv6

Conversion to a new Internet Protocol, as mandated by the Office Management and Budget.

VPN Softphone

Provided OGE's telework staff, who have broadband Internet access, with the ability to make and receive telephone calls remotely over a secure Internet connection, using specially provisioned OGE notebook computers.

NetStorage

Provided OGE's telework staff the ability to access their network files remotely via the OGE portal.

GroupWise Instant Messaging

Provided OGE's telework staff the ability to "instant message" with OGE staff back in the office.

VBrick

Will provide the Agency the capability to transmit live or recorded video over the OGE network to all workstations.

F. FY 2007 - 2008 Projects (identified by the General Counsel and Deputy Directors in the annual "budget call" process)

- OGC
- OAP
- GRSP